

1 Title: Darwin's Aliens

2 Authors: Samuel R. Levin^{1*}, Thomas W. Scott¹, Helen S. Cooper², Stuart A. West¹

3 1. Department of Zoology, University of Oxford, South Parks Road, Oxford OX1 3PS,
4 United Kingdom.

5 2. 37 Beach Croft Rd, Oxford, OX2 7AY, United Kingdom.

6 *Corresponding author: Samuel R. Levin, Department of Zoology, University of Oxford,
7 South Parks Road, Oxford OX1 3PS, United Kingdom. samuel.levin@zoo.ox.ac.uk

8

9

10 Short running title: Darwin's Aliens

11 Search terms: evolution, major transitions, astrobiology, aliens, extraterrestrial life, individuality

12

13

14 **Abstract**

15 Making predictions about aliens is not an easy task. Much of the work that has been done
16 has focused on extrapolating from empirical observations and mechanistic understanding of
17 physics, chemistry, and biology. Another approach is to utilise theory to make predictions that
18 are not tied to details of Earth. Here, we show how evolutionary theory can be used to make
19 predictions about aliens. We argue that aliens will undergo natural selection – something that
20 should not be taken for granted but that rests on firm theoretical grounds. Given aliens undergo
21 natural selection, we can say something about their evolution. In particular, we can say
22 something about how complexity will arise in space. Complexity has increased on Earth as a
23 result of a handful of events, known as the major transitions in individuality. Major transitions
24 occur when groups of individuals come together to form a new higher level of individual, such as
25 when single celled organisms evolved into multicellular organisms. Both theory and empirical
26 data suggest that extreme conditions are required for major transitions to occur. We suggest that
27 major transitions are likely to be the route to complexity on other planets, and that we should
28 expect them to have been favoured by similarly restrictive conditions. Thus, we can make
29 specific predictions about the biological makeup of complex aliens.

30

31

32 **Keywords:** evolution, major transitions, astrobiology, aliens, individuality, extraterrestrial life

33

34

35 **Introduction**

36

37 There are at least 100 billion planets in our galaxy alone (Cassan et al. 2012), and at least
38 20% of them are likely to fall in the habitable zone (Petigura et al. 2013), the region of space
39 capable of producing a biosphere. Even if 0.001% of those planets evolved life, that would mean
40 200,000 life-harboring planets in our galaxy. And it would only take *one* alien life form for our
41 conception of the universe to change dramatically. It's no wonder, then, that hundreds of
42 millions of dollars have recently been invested in astrobiology research (Schneider 2016), the US
43 and Europe have rapidly growing astrobiology initiatives (Des Marais et al. 2008; Gerda et al.
44 2016), and myriad new work has been done to try and predict what aliens will be like (Benner
45 2003; Rothschild 2009; Davies et al. 2009; Rothschild 2010; Shostak 2015). The challenge,
46 however, is that when trying to predict the nature of aliens, we have only one sample — Earth —
47 from which to extrapolate. As a result, making these predictions is hard.

48 So far, the main approach to making predictions about extra-terrestrial life has been
49 relatively mechanistic (Domagal-Goldman et al. 2016). We have used observations about how
50 things have happened on Earth to make statistical statements about how likely they are to have
51 happened elsewhere. For example, certain traits have evolved many times on Earth, and so we
52 posit that extraterrestrial life forms will converge on the same earthly mechanisms. Because eye-
53 like organs have evolved at least 40 times (Salvini-Plawen & Mayr 1977), and are relatively
54 ubiquitous, we predict that they would evolve on other planets, too (Conway Morris 2003, Flores
55 Martinez 2014). Similarly, we have used a mechanistic understanding of chemistry and physics
56 to make predictions about what is most probable on other planets. For example, carbon is
57 abundant in the universe, chemically versatile, and found in the interstellar medium, so alien life

58 forms are likely to be carbon-based (Cohen and Stewart 2001). These kinds of predictions come
59 from a mixture of mechanistic understanding and extrapolating from what has happened on
60 Earth. There is no theoretical reason why aliens couldn't be silicon based and eyeless.

61 An alternative approach is to use theory. When making predictions about life on other
62 planets, a natural theory to use would be evolutionary theory. Evolutionary theory has been used
63 to explain a wide range of features of life on Earth, from behaviour to morphology. For example,
64 it has allowed us to predict when some organisms, especially insects, should manipulate the sex
65 of their offspring, to produce an excess of sons or daughters, how some birds should forage for
66 food, and why males tend to be larger than females (Darwin 1871, Clutton-Brock and Harvey
67 1977, Davies and Houston 1981, West 2009, Davies et al. 2012). If life arises on other planets,
68 then evolutionary theory should be able to make similar predictions about it. Neither approach —
69 theoretical or mechanistic — is more or less valid than the other. But each has different
70 advantages and can be used to make different sorts of predictions.

71 Here, we examine how theoretical and mechanistic approaches can be combined to better
72 understand what to expect from alien life. We consider whether aliens will undergo natural
73 selection, and what implications would follow if they do. That aliens undergo natural selection is
74 something often taken for granted, but which needs justification on firm theoretical grounds. We
75 then turn our attention to a specific subset of aliens: complex ones. We examine how complexity
76 has arisen on Earth, and make predictions about how complexity would arise elsewhere in the
77 universe. Finally, we describe some biological features we would expect to find in complex
78 extraterrestrial life.

79

80 **Natural selection**

81

82 *On Earth*

83

84 Darwin (1859) showed that just a few simple features of life on earth lead to evolutionary
85 change via natural selection. Individual organisms differ in how they look and act -- there is
86 natural *variation*. These differences are *heritable* – offspring tend to look and act like their
87 parents. These heritable differences are linked to *differential success* – some individuals, as a
88 result of how they are made or behave, leave more offspring than others. These three features,
89 with heritable variation leading to differential success, result in natural selection (Darwin 1859,
90 Fisher 1930). Any traits or behaviours linked to greater production of offspring (higher fitness or
91 success) will build up in the population over time. As the environment changes, different traits
92 lead to higher success. This leads to changes in the population, or evolutionary change.

93 Thus, the ingredients required for natural selection are incredibly simple. Given a
94 collection of entities (a population) that has: (1) heredity; (2) variation; and (3) differential
95 success linked to variation, then natural selection will follow. The entities that are more
96 successful will become more prevalent in the population, as a result of being ‘selected’. Natural
97 selection does not depend on a specific genetic system (Darwin knew nothing of modern
98 genetics) or a specific genetic material, elemental make up, or planet-type. Given that 1, 2, and 3
99 exist, natural selection occurs (Figure 1).

100 Natural selection not only explains evolutionary change – it also explains adaptation. When
101 we look around at the natural world, we cannot help but see what looks like design: a giraffe’s
102 neck is for reaching high up leaves, a stick insect’s body for camouflage, a tree’s leaf for
103 photosynthesising. Organisms look designed or ‘adapted’ for the world in which they live.

104 Through the gradual selection of small improvements, traits associated with success in the
105 environment accrue in the population. Consequently, over time, natural selection will lead to
106 organisms that appear *as if* they were designed for success in the environment. The clause ‘*as if*’
107 is key here -- natural selection leads to the appearance of design (adaptation), without a designer
108 (Grafen 2003, Gardner 2009).

109 In fact, natural selection is the *only* explanation we have for the appearance of design
110 without a designer (Gardner 2009). Other processes can cause evolutionary change. For example,
111 a mutation can cause change from one generation to the next. But, without natural selection,
112 random mutation is incredibly unlikely to produce the complex traits that we see around us, like
113 limbs or eyes. Things that appear purposeful, such as limbs, organs, and cells, require the gradual
114 selection of improvements.

115 Another way to say this is that natural selection is unique because it is a *directional force*.
116 The entities that increase in representation in the population are a *specific subset* of the
117 population — those that are better at replicating. Natural selection increases fitness (Fisher
118 1930). As a result of these ‘successful’ entities accruing in the population, over time entities
119 become adapted for the *apparent* purpose of success. They look like ‘well-designed’ machines,
120 with the “purpose” of their “design” being successful replication.

121

122 *In space*

123

124 Natural selection is the only way we know to get the kinds of life forms we are familiar
125 with, from viruses to trees. By familiar we are not restricting ourselves to life forms that look
126 earthly. Instead, they are familiarly life-like in the sense that they stand out from the background

127 of rocks and gases because they appear to be busy trying to replicate themselves. A simple
128 replicator could arise on another planet. But without natural selection, it won't acquire
129 apparently purposeful traits like metabolism, movement or senses. It won't be able to adapt to its
130 environment, and in the process, become a more complex, noticeable and interesting thing.

131 We can ask, then, will aliens undergo natural selection? Evolutionary theory tells us that,
132 for all but the most transient and simple molecules, the answer is yes. Without a designer, the
133 only way to get something with the apparent purpose of replicating itself (something like a cell
134 or a virus), is through natural selection. Consequently, if we are able to notice it as life, then it
135 will have undergone natural selection (or have been designed by something that itself underwent
136 natural selection).

137 It is easy to quibble about the definition of life, and as some authors have pointed out,
138 trying to do so can reveal more about human language than about the external world (Cleland
139 and Chyba 2002). Our goal here is not to thoroughly define life. We adopt a functional stance –
140 what separates life from non-life is its apparent purposiveness, leading to tasks such as
141 replication and metabolism (Maynard Smith and Szathmary 1995). Further, without natural
142 selection, entities cannot adapt to their environment, and are therefore transient and will not be
143 discovered. If we identified an extra-terrestrial entity that we deemed to be a foreign life form,
144 but that had no degree of adaptedness, this prediction wouldn't hold.

145 Picture an alien (Figure 2). If what you are picturing is a simple replicating molecule, then
146 this 'alien' *might* not undergo natural selection (Figure 2a). For example, it could replicate itself
147 perfectly every time, and thus there would be no variation, and it would never improve. Or it
148 might have such a high error rate in replication that it quickly deteriorates. If we count things like
149 that as life, then there could be aliens that do not undergo natural selection. But if you are

150 picturing anything more complex or *purposeful* than a simple molecule, then the alien you are
151 picturing has undergone natural selection (Figure 2b). This is the kind of prediction that theory
152 can make. Given heredity, variation, and differential success, aliens will undergo natural
153 selection. Or, more interestingly, without those three things, aliens could not be more
154 complicated than a replicating molecule. Given an adapted alien, one with an appearance of
155 design or purpose, *it will have undergone natural selection.*

156

157 **Complexity**

158

159 *What is complexity?*

160

161 We've established that aliens will undergo natural selection. It also seems reasonable that,
162 given the sliding scale from replicating molecules to large creatures with many "body parts", and
163 beyond, some alien discoveries would be more interesting than others. In particular, the more
164 complex the aliens we find, the more interesting and exciting they will be, irrespective of
165 whether they appear anything like the life forms on earth. Something similar to a colony of
166 Ewoks from Star Wars or the Octomite in Figure 4 would likely be more interesting than a
167 simple chemical replicator.

168 Complexity is difficult to define, and there is certainly no hard and fast rule about what is
169 and is not complex. In biology, it is common to define complexity in terms of functional parts.
170 Things with more parts taking on more tasks and containing more functional interactions are
171 more complex (Maynard Smith and Szathmary 1995, Corning and Szathmary 2015). A tree is
172 more complex than a virus, and a beehive is more complex than a protein. Importantly, with

173 organisms as with machines, the parts need to be working towards a common purpose, such as
174 assembling a car or surviving to reproduce. Again, our goal here is not to provide definitions.
175 The challenge comes at the boundaries, for example between a virus and a cell, where the
176 definitions become murky. In the following sections, we aren't focusing on the boundaries, but
177 things, like the vast majority of life on Earth, which clearly have a multitude of parts working in
178 concert. Astrobiology is a largely empirical field, and the kinds of things programs like SETI are
179 searching for are undeniably complex.

180

181 *Complexity on Earth*

182

183 What do we know about how complexity arises on Earth? The theory of natural selection
184 itself is silent about *whether* complexity will arise. The theory is useful for making predictions
185 about what kinds of conditions or environments will lead to what kinds of evolutionary
186 adaptations – not for making long term predictions about the form of specific traits or creatures.
187 However, recent advances in the field of evolutionary biology have shed light on how
188 complexity has arisen on earth, on what points on the tree of life this has happened, and on what
189 theoretical conditions favour it (Maynard Smith and Szathmáry 1995, Queller 1997, Bourke
190 2011, West *et al.* 2015).

191 In particular, the evolution of complex life on earth appears to have depended upon a small
192 number of what have been termed major evolutionary transitions in individuality. In each
193 transition, a group of individuals that could previously replicate independently cooperate to form
194 a new, more complex life form, or higher level organism. For example, genes cooperated to form
195 genomes, different single celled organisms formed the eukaryotic cell, cells cooperated to form

196 multicellular organisms, and multicellular organisms formed eusocial societies (Maynard Smith
197 and Szathmary 1995, Queller 1997, Bourke 2011, West *et al.* 2015).

198

199 **Major transitions**

200

201 *Major transitions on Earth*

202

203 Major evolutionary transitions are defined by two features. First, entities that were capable
204 of replication before the transition can replicate only as part of a larger unit after it
205 (interdependence). For example, the cells in our bodies can't evolve back into single-celled
206 organisms. Second, there is a relative lack of conflict within the larger unit, such that it can be
207 thought of as an organism (individual) in its own right (Queller and Strassmann 2009, West *et al.*
208 2015). For example, it is common to think of a single bird as an individual, and not as a huge
209 community of cells each doing their own thing.

210 Major transitions are important because the new higher-level organisms that they produce
211 can lead to a great jump in complexity. For example, the evolution of multicellularity involved a
212 transition from an entity with one part (the single-celled organism) working for the success of
213 itself, to an entity with many parts (the multicellular organism), working for the success of the
214 whole group. The cells can now have very different functions (division of labour), as each is just
215 a component of a multicellular machine, sacrificing itself for the good of the group, to get a
216 sperm or egg cell into the next generation. As a result, diverse specialised forms such as eyes,
217 kidneys, and brains were able to develop. The rise in complexity on earth has been mediated by a
218 handful of such jumps, when units with different goals (genes, single cells, individual insects)

219 became intricately linked collectives with a single common goal (genomes, multicellular
220 organisms, eusocial societies). Increases in complexity can also occur through mutations, gene
221 duplications, or even whole genome duplications, but these are not major transitions. These other
222 changes tend to be reversible and gradual, while major transitions are irreversible and cause large
223 leaps in complexity.

224 The identification of major evolutionary transitions was an empirical observation about
225 how complexity has increased on earth (Maynard Smith and Szathmáry 1995). The next step was
226 to use evolutionary theory to provide insight about when (or under what conditions) we can
227 expect major transitions to occur (Maynard Smith and Szathmáry 1995, Queller 1997, Gardner &
228 Grafen 2009, Bourke 2011, West *et. al* 2015). Major transitions involve the original entities
229 completely subjugating their own interests for the interests of the new collective. This represents
230 an incredibly extreme form of cooperation. Think of the skin or liver cells in your body
231 sacrificing for your sperm or eggs, or the worker ants in a eusocial colony sacrificing for the
232 queen. Evolutionary theory tells us what conditions lead to such extraordinary cooperation.

233

234 *What conditions drive major transitions?*

235

236 Consider a multicellular organism, such as yourself. Why don't your hand and heart cells
237 try to reproduce themselves, as opposed to helping your sperm or egg cells? The answer involves
238 genetic similarity or 'relatedness' (Hamilton 1964). Your hand cells contain the same genes as
239 your sperm cells, because they are clonal copies. A hand cell could in principle get the same
240 fraction of its genes into the next generation (all of them) by either copying itself, or by helping
241 copy the sperm cells. A similar phenomenon occurs in eusocial insects, such as some ants, bees,

242 wasps and termites. A worker termite can pass on half her genes to her offspring. But a random
243 sibling in the colony (her brother or sister) also contains, on average, half her genes. Thus, a
244 worker can get the same fraction of gene copies into the next generation by reproducing or by
245 helping her mother, the queen, to reproduce (Hamilton 1964, Boomsma 2009). Helping their
246 mother is likely to be more efficient than reproducing on their own, and so our termite can better
247 get their genes into the next generation by helping rather than reproducing (Hamilton 1964;
248 Queller & Strassmann 1998; Bourke 2011).

249 These are two examples of *alignment of interests*. The ‘interests’ are evolutionary interests
250 in getting genes into future generations. The hand and the sperm cells both act as if they ‘want’
251 to get copies of their genes into the next generation, because, as we discussed above, natural
252 selection will have led to them being adapted in this way (Grafen 2003, Gardner 2009). The
253 interests between them are aligned because they share the same genes. When individuals share
254 genes, we say that they are genetically related. Relatedness is a statistical measure of the extent
255 to which individuals share genes (Grafen 1985).

256 In the case of eusocial ant colonies and human bodies, the interests are aligned through
257 genetic relatedness. But there are other ways for evolutionary interests to be aligned. Consider,
258 for example, a mutualism between two species. Some aphids carry bacteria in their gut (Moran
259 2007). The aphids provide the bacteria with sugars and other nutrients to survive and the bacteria
260 provide the aphids with vital amino acids missing from their diet. The aphid and the bacteria
261 don’t share the same genes, but neither can reproduce without the other. To reproduce itself, the
262 aphid has to help reproduce the bacteria, and vice versa. Again, their evolutionary interests are
263 *aligned*.

264 The very cells that make up our bodies – known as eukaryotic cells – evolved through a

265 similar kind of alignment of interests (Margulis 1970, Thiergart et al. 2012, Archibald 2015).
266 Early in the evolution of life, one bacterial species engulfed another. Over time, the two species
267 took on different roles, with one specializing in replication and the other in energy production.
268 The nucleus in our cells is the descendant of the former, and the mitochondria the latter. Neither
269 can reproduce without the other. Their interests are aligned through reproductive dependence on
270 each other.

271 All cooperation in nature requires alignment of interests (West et al. 2007). Consider, for
272 example, flower pollination by bees. The bee benefits by receiving food from the flower, and the
273 flower benefits by being pollinated. But major transitions are a particularly *extreme* form of
274 cooperation. Compare the pollination scenario to the cells *within* the flower or the bee. Major
275 transitions involve organisms cooperating so completely that they give up their status as
276 individuals, becoming parts of a whole (Queller and Strassmann 2009). Unsurprisingly, then,
277 major transitions require the extreme condition of *effectively* complete or perfect alignment of
278 interests (Gardner & Grafen 2009; West et al. 2015).

279 It is also useful to consider the biology of organisms that do not have interests sufficiently
280 aligned, and thus where conflict remains and major transitions have not occurred. For example,
281 in single celled organisms, we can compare non-clonal cooperative groups of things like slime
282 moulds with clonal groups such as those that make up multicellular organisms like humans and
283 trees. These non-clonal groups have evolved only relatively limited division of labour, and never
284 complex multicellular organisms (Fisher et al. 2013). Numerous experimental studies have
285 shown that this is because in non-clonal groups non-cooperative ‘cheats’ can spread, limiting the
286 extent of cooperation (Griffin et al. 2004, Diggle et al 2007, Kuzdzal-Fick et al. 2011 Rumbaugh
287 et al. 2012, Pollitt et al. 2014, Popat et al. 2015, Inglis et al. 2017).

288 Thus, there must be something in place to maintain the alignment of interests (Bourke
289 2011, West et al. 2015). Evolutionary theory can suggest what these somethings would have to
290 be. In multicellular organisms, the something is the single-celled bottleneck (Buss 1987, Queller
291 2000). Multicellular organisms start each new generation as a single-celled zygote, such that all
292 the cells in the resulting body are clonal (it could also be a spore giving rise to a haploid cell).
293 Eusocial insect colonies evolved from colonies founded by a singly-mated queen (Hughes *et al.*
294 2008, Boomsma 2007, 2009, 2013). If the queen had multiple mating partners, a worker would
295 have half-sisters, and be less related to her siblings than her offspring, breaking down the
296 alignment. The monogamous mating pair is the eusocial colony's equivalent of a zygote, or a
297 bottlenecking event (Boomsma 2013). With unrelated units, like mitochondria and the nucleus,
298 the individual parts must be co-dependent for joint reproduction (Foster and Wenseleers 2006,
299 West et al. 2015) – which can be thought of as a different form of bottleneck. The rarity of
300 conditions like these – conditions under which alignment is so complete – explains the rarity of
301 major transitions in individuality in the history of life.

302

303 *The Biology of Organisms that have undergone Major Transitions*

304

305 Do the conditions required for major transitions tell us anything about the biology of
306 organisms that have undergone major transitions? Yes. Organisms are a nested hierarchy, where
307 each nested level is the vestige of a former individual (Figure 3). Eusocial ant colonies function
308 as a single individual, but are made up of multicellular organisms. Those organisms themselves
309 are made up of cells. In turn, those cells resulted from the fusion of two simple species early in
310 evolution. Each of those organisms had a genome that evolved from the union of individual,

311 replicating molecules.

312 Further, at each level of the hierarchy there must be something to *align the interests* of the
313 parts. This usually happens through some form of population bottlenecking. When the parts are
314 related, it is a relatedness bottleneck, such as the single celled stage in multicellular organisms,
315 or the singly mated female in the social insects (Boomsma 2009, 2013; West *et al.* 2015). When
316 the parts are unrelated, it is usually another form of bottleneck, such as enforced vertical
317 transmission with joint reproduction (Foster and Wenseleers 2006, West *et al.* 2015). We use the
318 term ‘bottleneck’ to refer to new generations being founded by a strict unit (the zygote, the
319 mutualist pair, etc.), but another way to think of this is that the parts require each other for
320 reproduction (e.g. the soma and the germ line, or the mitochondria and the nucleus). Other,
321 further aligners may be required (e.g. in multicellular organisms, there may need to be a cap on
322 somatic mutations), but these are more likely to be life-form specific.

323 To conclude so far, empirical observation tells us that complexity has increased on earth
324 through major transitions. Evolutionary theory tells us that for major transitions to occur, conflict
325 must be eliminated. Theory also tells us what conditions lead to the elimination of conflict. The
326 empirical data agree with the predictions of theory, in that major transitions have only occurred
327 in the extreme conditions that effectively remove conflict (Boomsma 2007, Hughes et al. 2008,
328 Fisher et al. 2013, West et al. 2015, Fisher et al. 2017).

329

330 **Complex Aliens**

331

332 *Complexity and Major Transitions in Space*

333

334 We can now ask: what does the major evolutionary transition approach tell us about aliens?
335 Will extraterrestrial life undergo major transitions? Not necessarily. Natural selection can't
336 predict a specific course of evolution. However, as we have said, we might be particularly
337 interested in *complex* aliens. Complexity requires different parts or units working together
338 towards a common goal or purpose. Under natural selection, units are selected to be selfish,
339 striving to replicate themselves at the expense of others. Theory tells us that for units to unite
340 under a common purpose, evolutionary conflict between them must effectively be eliminated
341 (Gardner & Grafen 2009; West et al. 2015).

342 Once again, picture an alien (Figure 2). If you are picturing something like unlinked
343 replicating molecules or undifferentiated blobs of slime, then your aliens might not have
344 undergone major transitions. But if what you are picturing has different parts with specialised
345 functions, then your alien is likely to have undergone major transitions (Figure 2c). What matters
346 isn't that we call them 'major transitions', but rather that complexity requires multiple parts of an
347 organism striving to the same purpose, and that theory predicts that this requires restrictive
348 conditions (Gardner & Grafen 2009; West et al. 2015). Consequently, if we find complex
349 organisms, we can make predictions about what they will be like.

350 Are there other ways to get complexity? To do so, natural selection would have to sculpt
351 separate parts with unique functions out of a single replicator. Could, for example, the alien
352 equivalent of a single copy of a gene, housed in one 'cell' generate the equivalent of limbs and
353 organs? If so, it would disprove our prediction. However, both empirical (major transitions are
354 how complexity has increased on Earth) and theoretical (functional parts requires elimination of
355 conflict) evidence support the argument that complex aliens will have undergone major
356 transitions.

357

358 *The biology of complex aliens*

359

360 Given that complex aliens will have undergone major transitions, we can make a number
361 of predictions about their biology (Figure 4).

362 1. They will be entities that are made up of smaller entities -- a nested hierarchy of
363 individuality with as many levels as completed transitions. This could mean a collection
364 of replicators, like the first genomes on Earth, or some hideously complex nesting of
365 groups on a planet where many more transitions have occurred than on our own. For
366 example, you might imagine a 'society of societies', where many different social colonies
367 collaborate, with each society specialising on different tasks, such that they are
368 completely dependent on each other. Versions of the simpler entities are likely to be
369 found free-living on the planet as well.

370 2. Whatever the number of transitions, there will be something that aligns interests, or
371 eliminates conflict within the entities, at the level of each transition.

372 3. Theory suggests that some sort of population bottlenecking will be key to aligning
373 interests. Bottlenecking is not necessarily the only way to eliminate conflict, but it is
374 probably the easiest evolutionary route to take. In particular, it does not require additional
375 mechanisms of enforcement, such as kin discrimination, policing, or randomisation. The
376 specific kinds of bottlenecking will depend on whether like or dislike units are united.

377 a. When like entities come together, interests can be aligned through a bottleneck
378 similar to our single celled bottleneck in multicellular organisms or the single
379 mating pair in eusocial colonies, which maximises relatedness between entities.

- 380 b. If the organisms are made up different types of entities, we can expect something
381 similar to the bottleneck that forces mitochondria and nuclei to pass to the next
382 generation together, with joint reproduction. By trapping individuals together over
383 evolutionary time, their interests become aligned.
- 384 c. Some aliens, like us, may contain both types of conflict reduction, for having both
385 like and dislike types joined within them.

386

387 **Conclusion**

388

389 When using evolutionary theory to make predictions about extraterrestrial life, it is
390 important to avoid circularity. Our chain of argument is; (1) Extraterrestrial life will have
391 undergone natural selection. (2) Knowing that aliens undergo natural selection, we can make
392 further predictions about their biology, based on the theory of natural selection. In particular, we
393 can say something about complex aliens – that they will likely have undergone major transitions.
394 (3) Theory tells us that restrictive conditions, which eliminate conflict, are required for major
395 transitions. (4) Consequently, complex aliens will be composed of a nested hierarchy of entities,
396 with the conditions required to eliminate conflict at each of those levels.

397 When making predictions about aliens, we must take advantage of our entire scientific
398 toolkit. Mechanistic understanding is a good way to extrapolate from what we see on Earth.
399 Theory is a good way to make predictions that are independent of the details of Earth.
400 Combining both approaches is the best way to make more complete predictions about the many
401 hundreds, thousands, or millions of hypothetical aliens. Now we just need to find them.

402

403 **Acknowledgements**

404 We thank The Clarendon Fund, Hertford College, and the Natural Environment Research
405 Council for funding; and Magdalen College for emergency housing.

406

407 **Author Disclosure Statement**

408 No competing financial interests exist.

409 **References**

410 Archibald J. M. (2015) Endosymbiosis and Eukaryotic Cell Evolution. In: *Curr. Biol.*, pp R911-21.

411 Benner S. A. (2003) Synthetic biology: Act natural. In: *Nature*, Nature Publishing Group, pp 118-118.

412 Boomsma J. J. (2007) Kin selection versus sexual selection: why the ends do not meet. In: *Curr. Biol.*,
413 pp R673-83.

414 Boomsma J. J. (2009) Lifetime monogamy and the evolution of eusociality. In: *Philos. Trans. R. Soc.*
415 *Lond., B, Biol. Sci.*, The Royal Society, pp 3191-3207.

416 Boomsma J. J. (2013) Nature's True Self. In: *Science*, American Association for the Advancement of
417 Science, pp 145-146.

418 Bourke A. F. G. (2011) Principles of Social Evolution. Oxford University Press.

419 Buss L. W. (1987) The evolution of individuality. Princeton University Press.

420 Cassan A., Kubas D., Beaulieu J.-P., Dominik M., Horne K., Greenhill J., Wambsganss J., Menzies J.,
421 Williams A., Jørgensen U. G. and others. (2012) One or more bound planets per Milky Way star
422 from microlensing observations. In: *Nature*, Nature Research, pp 167-169.

423 Cleland, C.E. and Chyba, C.F., 2002. Defining 'life'. *Origins of Life and Evolution of the*
424 *Biosphere*, 32(4), pp.387-393.

425 Clutton-Brock T. H., Harvey P. H., and Rudder B. (1977) Sexual dimorphism, socioeconomic sex ratio and

426 body weight in primates. In: *Nature*, pp 797-800.

427 Cohen J., and Stewart I. (2001) Where are the dolphins? In: *Nature*, Nature Publishing Group, pp 1119-
428 1122.

429 Corning P. A., and Szathmáry E. (2015) Synergistic selection a Darwinian frame for the evolution of
430 complexity. In: *Journal of theoretical biology*, pp 45-58.

431 Darwin C. (1859) On the origins of species by means of natural selection. In: *London: Murray*.

432 Darwin C. (1871) The descent of man, and selection in relation to sex. By Charles Darwin ... D.
433 Appleton and company,.

434 Davies N. B., and Houston A. I. (1981) Owners and Satellites: The Economics of Territory Defence in
435 the Pied Wagtail, *Motacilla alba*. In: *The Journal of Animal Ecology*, pp 157.

436 Davies P. C. W., Benner S. A., Cleland C. E., Lineweaver C. H., McKay C. P., and Wolfe-Simon F.
437 (2009) Signatures of a shadow biosphere. In: *Astrobiology*, Mary Ann Liebert, Inc. 140
438 Huguenot Street, 3rd Floor New Rochelle, NY 10801-5215 USA, pp 241-249.

439 Davies, N.B., Krebs, J.R. and West, S.A., 2012. An introduction to behavioural ecology. John
440 Wiley & Sons.

441 Des Marais D. J., Nuth J. A., Allamandola L. J., Boss A. P., Farmer J. D., Hoehler T. M., Jakosky B. M.,
442 Meadows V. S., Pohorille A., Runnegar B. and others. (2008) The NASA Astrobiology
443 Roadmap. In: *Astrobiology*, Mary Ann Liebert, Inc. 140 Huguenot Street, 3rd Floor New
444 Rochelle, NY 10801-5215 USA, pp 715-730.

445 Domagal-Goldman S. D., Wright K. E., Adamala K., Arina de la Rubia L., Bond J., Dartnell L. R.,
446 Goldman A. D., Lynch K., Naud M.-E., Paulino-Lima I. G. and others. (2016) The Astrobiology
447 Primer v2.0. In: *Astrobiology*, Mary Ann Liebert, Inc. 140 Huguenot Street, 3rd Floor New
448 Rochelle, NY 10801 USA, pp 561-653.

449 Fisher R. A. (1930) The genetical theory of natural selection: a complete variorum edition. Oxford
450 University Press.

451 Fisher, R.M., Cornwallis, C.K. and West, S.A., 2013. Group formation, relatedness, and the
452 evolution of multicellularity. *Current Biology*, Cell Press 23(12), pp.1120-1125.

453 Fisher, R.M., Henry, L.M., Cornwallis, C.K., Kiers, E.T. and West, S.A., 2017. The evolution of
454 host-symbiont dependence. *Nature Communications*, Nature Publishing Group, 8:15973.

455 Flores Martinez C. L. (2014) SETI in the light of cosmic convergent evolution. In: *Acta Astronautica*, pp
456 341-349.

457 Foster K. R., and Wenseleers T. (2006) A general model for the evolution of mutualisms. In: *J Evolution*
458 *Biol*, Blackwell Publishing Ltd, pp 1283-1293.

459 Gardner A., and Grafen A. (2009) Capturing the superorganism: a formal theory of group adaptation. In:
460 *J Evolution Biol*, Blackwell Publishing Ltd, pp 659-671.

461 Grafen A. (1985) A geometric view of relatedness. In: *Oxford surveys in evolutionary biology*.

462 Grafen A. (2003) Fisher the evolutionary biologist. In: *Journal of the Royal Statistical Society: Series D*
463 *(The Statistician)*, pp 319-329.

464 Hamilton W. D. (1964) The genetical evolution of social behaviour I and II. In: *Journal of theoretical*
465 *biology*, pp 1-52.

466 Horneck G., Walter N., Westall F., Grenfell J. L., Martin W. F., Gomez F., Leuko S., Lee N., Onofri S.,
467 Tsiganis K. and others. (2016) AstRoMap European Astrobiology Roadmap. In: *Astrobiology*,
468 Mary Ann Liebert, Inc. 140 Huguenot Street, 3rd Floor New Rochelle, NY 10801 USA, pp 201-
469 243.

470 Hughes W. O. H., Oldroyd B. P., Beekman M., and Ratnieks F. L. W. (2008) Ancestral monogamy
471 shows kin selection is key to the evolution of eusociality. In: *Science*, American Association for

472 the Advancement of Science, pp 1213-1216.

473 Margulis L. (1970) Origin of Eukaryotic Cells. Yale University Press

474 Moran N. A. (2007) Symbiosis as an adaptive process and source of phenotypic complexity. In:

475 *Proceedings of the National Academy of Sciences*, National Acad Sciences, pp 8627-8633.

476 Morris S. C. (2003) The navigation of biological hyperspace. In: *International Journal of Astrobiology*,

477 Cambridge University Press, pp 149-152.

478 Petigura E. A., Howard A. W., and Marcy G. W. (2013) Prevalence of Earth-size planets orbiting Sun-

479 like stars. In: *Proc. Natl. Acad. Sci. U.S.A.*, National Acad Sciences, pp 19273-19278.

480 Popat, R., Pollitt, E.J., Harrison, F., Naghra, H., Hong, K.W., Chan, K.G., Griffin, A.S.,

481 Williams, P., Brown, S.P., West, S.A. and Diggle, S.P. (2015). Conflict of interest and

482 signal interference lead to the breakdown of honest signaling. *Evolution*, The Society for

483 the Study of Evolution, 69(9), pp.2371-2383.

484 Queller D. C. (1997) Cooperators Since Life Began The Major Transitions in Evolution. John Maynard

485 Smith , Eors Szathmary. In: *The Quarterly Review of Biology*, University of Chicago Press, pp

486 184-188.

487 Queller D. C. (2000) Relatedness and the fraternal major transitions. In: *Philosophical Transactions of*

488 *the Royal Society B: Biological Sciences*, The Royal Society, pp 1647-1655.

489 Queller, D.C. and Strassmann, J.E. (1998). Kin selection and social insects. In:

490 *Bioscience*, Oxford University Press, 48(3), pp.165-175.

491 Rothschild L. J. (2010) A powerful toolkit for synthetic biology: Over 3.8 billion years of evolution. In:

492 *BioEssays*, WILEY-VCH Verlag, pp 304-313.

493 Rothschild L. J. (2010) Defining the envelope for the search for life in the Universe. In: *Proceedings of*

494 *the International Astronomical Union*, Cambridge University Press, pp 697-698.

495 Schneider D. (2016) \$100 million seti initiative starts listening for E.T. In: *IEEE Spectrum*, pp 41-42.

496 Shostak S. (2015) Searching for Clever Life. In: *Astrobiology*, Mary Ann Liebert, Inc. 140 Huguenot
497 Street, 3rd Floor New Rochelle, NY 10801 USA, pp 949-950.

498 Smith J. M., & Szathmary E. (1995). The major transitions in evolution. Oxford University Press.

499 von Salvini-Plawen L., and Mayr E. (1977) On the Evolution of Photoreceptors and Eyes. In:
500 *Evolutionary Biology*, Springer US, pp 207-263.

501 Thiergart, Thorsten, Giddy Landan, Marc Schenk, Tal Dagan, and William F. Martin. "An
502 evolutionary network of genes present in the eukaryote common ancestor polls genomes on
503 eukaryotic and mitochondrial origin." *Genome Biology and Evolution* 4, no. 4 (2012): 466-485.

504 West S. (2009) Sex Allocation. Princeton University Press.

505 West S. A., Fisher R. M., Gardner A., and Kiers E. T. (2015) Major evolutionary transitions in
506 individuality. In: *Proceedings of the National Academy of Sciences*, National Acad Sciences, pp
507 10112-10119.

508

509

510

511

512 **Figure Legends**

513 **Figure 1**

514 Natural Selection. Natural Selection operates if three conditions are satisfied: variation,
515 differential success linked to variation, and heredity. Here, we illustrate with an example: the
516 evolution of long necks in giraffes. **(i)** Initially there is natural variation in giraffes' neck lengths.
517 **(ii)** Longer-necked giraffes have access to more food, high up in the trees, and so live longer to
518 have more offspring. **(iii)** Giraffes' offspring resemble their parents. As a result of (i), (ii) and
519 (iii), the population gradually shifts to be dominated by long-necked giraffes.

520

521

522 **Figure 2**

523 Picture an alien. These illustrations represent different levels of adaptive complexity we might
524 imagine when thinking about aliens. **(a)** A simple replicating molecule, with no apparent design.
525 This may or may not undergo natural selection. **(b)** An incredibly simple, cell-like entity. Even
526 something this simple has sufficient contrivance of parts that it must undergo natural selection.
527 **(c)** An alien with many intricate parts working together is likely to have undergone major
528 transitions.

529

530 **Figure 3**

531 Major Transitions. Life started with naked replicating molecules, and has since undergone a
532 series of major transitions. Arrows show the occurrence of major transitions in individuality.

533 Dotted arrows represent transitions between dislike things and solid lines represent transitions
534 between like things. Callouts show examples of present day organisms that have undergone that
535 transition but no further ones. (a) As we have not yet identified the earliest replicators,
536 Spiegelman's monster, a simple replicating RNA molecule, is shown as an example candidate.
537 (b) A single-celled bacteria, like *Escherichia coli*. (c) A single celled eukaryote, like
538 *Blepharisma japonicum*. (d) A multicellular organism, like frogs. (e) An obligate eusocial
539 colony, such as honeybees. (f) Secondary endosymbiosis events, such as the origin of the
540 chloroplast. (g) Further endosymbiosis events, such as those leading to Dinoflagellates. (h)
541 Obligate interspecific mutualisms, such as between aphids and buchnera bacteria. (i) Obligate
542 mutualisms between a multicellular organism and eusocial colony, such as between leaf-cutter
543 ants and fungi. All images courtesy of Wikipedia.

544

545

546 **Figure 4**

547 Major transitions in space: 'The Octomite'. A complex alien that comprises a hierarchy of
548 entities, where each lower level collection of entities has aligned evolutionary interests such that
549 conflict is effectively eliminated. These entities engage in division of labour, with various parts
550 specialising on various tasks, such that the parts are mutually dependent.

551

552

553

554

555

